



Alabama Disaster Case Management Program

Request for Letters of Intent

Applications must be **RECEIVED** (not postmarked)

No Later Than:

5:00pm CST

Monday, July 2, 2012

Mail

Attn: Vivian Mills

Governor's Office of Faith-Based and Community Initiatives
(GFBCI)

Eight Commerce Street, Suite 1000
Montgomery, Alabama 36104

NO FAXES WILL BE ACCEPTED

*For questions Please call Vivian Mills at 334-954-7457
Vivian.mills@ServeAlabama.gov*

Alabama Disaster Case Management Program

The Governor's Office of Faith-Based and Community Initiatives (GFBCI) is currently seeking organizations that could potentially serve as Provider Level Case Management agencies for the Alabama Disaster Case Management Program (ALDCMP). The Federal Emergency Management Agency (FEMA) through the State of Alabama is offering the opportunity for Alabama to access funding for a comprehensive case management program for the affected counties that receive an Individual Assistance declaration after a federally declared disaster or emergency. There is no match requirements for this program (100% federal share).

Eligible Applicants are faith-based and community organizations, public agencies are not eligible to apply. Applicants should have a physical presence in the areas they propose to serve.

If you feel that your organization could serve as a Provider Level Agency, please submit to the GFBCI office a brief narrative that includes:

Organizational History: Briefly describe the organizations history and include number of years serving the community, types of programs and for sustainability the plan to continue to provide services beyond disaster case management program.

Case Management History: Briefly describe experience providing case management (disaster or non-disaster). Also indicate if agency currently is a user on the Coordinated Assistance Network (CAN).

Funding History: Briefly Describe organization's funding history, experience managing funds (private, state and federal), and the capacity of organization's fiscal staff.

Coordination with local Long Term Recovery Committees (LTRCs): Describe your organizations current work/collaboration with local long term recovery committees. The plan for Case Management Supervisors to interface with the LTRCs. How cases will be referred and then presented back to the LTRCs.

Pre-Award Financial Self-Assessment: Please see attached form.

DEFINITIONS (Source: FEMA)

Disaster Case Management – Disaster case management is a time limited process that involves a partnership between a case manager and a disaster survivor to develop and carry out a Disaster Recovery Plan. The partnership provides the disaster survivor with a single point of contact to facilitate access to a broad range of resources. The process involves an assessment of the disaster survivor's verified disaster caused unmet needs, development of a goal-oriented plan that outlines the steps necessary to achieve recovery, organization and coordination of information on available resources that match the disaster caused unmet needs, the monitoring of progress toward reaching the recovery plan goals, and, when necessary advocacy on behalf of the disaster survivor.

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Disaster Caused Unmet Needs – A disaster caused unmet need is an un-resourced item, support, or assistance that is necessary for the disaster survivor to recover from the disaster. Resources may include insurance payments, Federal disaster assistance (ie. FEMA Individual and Household program grants, Small Business Administration Disaster Loans, etc.), State assistance and personal resources. Unmet needs may also include basic emergency needs, such as food, clothing, shelter or first-aid and long term needs, such as financial, physical, or emotional.

All letters received will be reviewed by the ALDCMP staff. In the event that FEMA declares a disaster for any counties in the State of Alabama and makes available funding for Individual Assistance, the ALDCMP staff will contact you and issue a Request for Proposal.

Governor's Office of Faith-Based and Community Initiatives
Pre-Award Financial Assessment – New Applicants ONLY

Date Completed:

Organization Name:

Authorizing Official (Print Name):

I certify that the information below is true and correct.

Authorizing Official

This Financial Management Self-Assessment Tool is designed to assist organizations in assessing their level of compliance in managing federal funds. The tool is structured to evaluate current processes in place and provide participant with guidance to create a strong system to effectively and efficiently manage a federal grant. The tool focuses on key elements of the grant(s) that might be most vulnerable under an audit. The tool is structured to be utilized by the individual managing the grant, knowing that completion of the tool will require the assistance of other key staff.

Ideally, the person performing the procedures outlined in the model should carefully document the results for every step and then based on these results make a determination on the organization's level of compliance with each section. Specific areas where the results indicate weaknesses could then be focused upon so that steps can be taken to improve them.

During the self-review, if there are questions contact Vivian Mills by email at vivian.mills@ServeAlabama.gov or via phone at 334.954.7457.

Using the following procedures will assist your organization in helping determine whether their financial management system can easily identify specific grant activities through the accounting system and whether transactions are recorded in compliance with the applicable federal, state and local requirements, and are supported by adequate documentation.

The self-assessment tool is divided into three sections. Section 1 makes a statement questions that indicate if appropriate policies and procedures and a financial structure are designed to assess the overall financial management environment of the organizations. These statements are not unique to a particular grant but instead focus on the organization's overall activities. Each statement should be ranked from 1 to 5 on compliance. A definition for each ranking is below:

Ranking Scale:

- 1 – Do not have current process or policy in place
- 2 – In process, have a process, but it is not documented
- 3 – Policy in place, stale dated, needs to be reviewed and updated
- 4 – Policy in place, for current operations, needs to be updated to add new programs

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5 – Compliant, policy and procedures adequate for current transactions and processes, properly documented

Column one outlines the topic that describes the statements. Column two lists the specific statements and Column three is included to place the correct ranking number for each statement. The end of each section includes a total line to total the ranking results. The end of Section 1 includes a summary table to tabulate the total rankings of each section. This allows the user to arrive at a conclusion based off their responses and provides recommendation for improvement.

The assessment also requests that you attach certain documents for additional review. Please label each document as directed. If you do not have the policy, please include a sheet of paper that indicates that you do not current have the policy.

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FINANCIAL MANAGEMENT SELF-ASSESSMENT TOOL
SECTION 1 – GENERAL POLICIES AND PROCEDURES

Review Objectives	Review Procedures	Ranking				
		1	2	3	4	5
General Mngt.	The organization is in sound financial condition, financial condition criteria:					
General Mngt.	Organization operations generate a surplus/net income.					
General Mngt.	Organization has diversified sources of revenue to support operations.					
General Mngt.	Organization has a process to monitor cash flows.					
General Mngt.	Organization has a process to utilize financial statements and other reports to make decisions.					
General Mngt.	My organization has an annual budget that is approved by the board prior to the start of the new fiscal year.					
General Mngt.	My organization measure progress against written objectives and reviews the progress on a regular basis.					
General Mngt.	Management understands and utilizes the financial statements.					
General Mngt.	Organization has a current organization chart. <i>Attach a copy of the chart</i>					
	Total Rankings for General Management					
Insurance	Organization maintains appropriate liability insurance coverage for its employees.					
Insurance	Organization maintains appropriate liability insurance coverage for its board of directors.					
Insurance	Organization periodically reviews insurance coverage to determine its adequacy.					
	Total Rankings for Insurance					

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Review Objectives	Review Procedures	1	2	3	4	5
General Mngt. – HR	Organization maintains a personnel policy manual that is reviewed and updated regularly.					
General Mngt. – HR	Organization has a local recruitment plan that encourages diversity.					
General Mngt. – HR	Organization maintains personnel files.					
General Mngt. – HR	Organization maintains documentation of eligibility to work (Form I-9) for every employee.					
General Mngt. – HR	Organization personnel files have current job descriptions.					
General Mngt. – HR	Organization provides employees with appropriate supervision.					
General Mngt. – HR	Organization conducts an annual performance review.					
General Mngt. – HR	Organization checks the background and references for new personnel.					
General Mngt. – HR	Accounting personnel have the background, education, and experience appropriate to complete their duties.					
Total Rankings for General Management - HR						
Financial Systems	Executive Director receives financial statements on a regular basis (at least monthly or quarterly).					
Financial Systems	Organization ensures that all financial transactions are in compliance with Generally Accepted Accounting Principles (GAAP)?					
Financial Systems	Organization maintains a written accounting policy manual that is updated and reviewed regularly.					
Financial Systems	Organization has a financial statement audit annually.					
Financial Systems	Organization has in-kind contribution forms to assist with the receipt of donations.					
Financial Systems	Organization's accounting system has the ability to track expenditures by line item.					

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Review Objectives	Review Procedures	1	2	3	4	5
Financial Systems	Organization reviews budget to actual financial statements regularly.					
Financial Systems	Organization has a policy to deal with budget variances.					
	Total Rankings for Financial Systems					
Financial Responsibilities	Organization separates financial responsibilities to maintain a system of internal controls.					
Financial Responsibilities	Organization has a written policy governing separation of financial responsibilities.					
Financial Responsibilities	Bank statements are reviewed monthly by someone other than the individual that reconciled them.					
Financial Responsibilities	Organization has a written procedure in place to monitor cash flows and how to remedy shortfalls.					
Financial Responsibilities	Organization ensures that employees that handle cash are bonded.					
Financial Responsibilities	Organization ensures that the stock of blank checks is adequately secured.					
	Total Rankings for Financial Responsibilities					
Budgeting	Organization prepares an annual budget that is reviewed and approved by management and board of directors.					
Budgeting	Organization has a written procedure to document the budget process, including key personnel and deadlines.					
Budgeting	Organization has strategic plan and activities are tied to available funds.					
	Total Rankings for Budgeting					
Internal Controls	Organization has a written Internal Control policy.					
Internal Controls	Organization requires all employees in a position of trust to take vacations.					

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Review Objectives	Review Procedures	1	2	3	4	5
Internal Controls	Organization maintains records and related party transactions.					
Internal Controls	Organization has established measures to prevent unauthorized access to, or destruction of documents, records and assets.					
	Total Rankings for Internal Controls					
Cost Allocation	Organization has a written cost allocation policy.					
Cost Allocation	Organization has a procedure in place to ensure that costs incurred by the organization are documented and segregated as to allowability or non-allowability for government funding purposes.					
Cost Allocation	Organization has a procedure in place to track individual time distribution records for programs allocating an employee's salary between grant and other funds.					
Cost Allocation	Organization can tie their cost allocation plan to the general ledger and distribution of expenses across cost centers.					
Cost Allocation	Organization has a procedure to separate costs into two categories: direct and indirect.					
	Total Rankings for Cost Allocation					
General Ledger	Organization maintains financial reports that have a clear audit trail to ledgers and supporting documentation.					

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General Ledger	Organization uses a detailed chart of accounts, which includes a narrative description of each line item and separates transactions by funding source.					
General Ledger	Organization maintains formal general journal entries and posts the entries to the general ledger.					
General Ledger	Organization has controls in place to ensure only authorized personnel have access to post to the general ledger.					
General Ledger	Organization documents and tracks cash and in-kind donations and records in the financial accounting system.					
General Ledger	Organization records grant revenue and expenditures in a manner that tracks each grant separately.					
	Total Rankings for General Ledger					
Cash	If organization uses petty cash, they have a written policy that governs petty cash. Examples: limit per transaction, check cashing.					
Cash	Organization has someone independent of data entry into the accounting system prepare bank deposits.					
Cash	Organization has someone independent of data entry into the accounting system prepare the bank reconciliation.					
Cash	Organization has a policy that authorizes signers on checks and indicates how many signatures are required on checks of varying amounts.					
Cash	Organization has a procedure that outlines the responsibilities of the individual signing checks, including prohibiting signing of blank checks.					
Cash	Organization uses pre-numbered checks (all types).					
	Total Rankings for Cash					

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Accounts Receivable	Organization has a written procedure governing receipt of funds.					
Accounts Receivable	Organization regularly reviews aged accounts receivables.					
Total Rankings for Accounts Receivable						
Fixed Assets	Organization has a written capitalization policy.					
Fixed Assets	Organization conducts a physical inventory of fixed assets annually.					
Fixed Assets	Organization maintains perpetual fixed asset records.					
Fixed Assets	Organization has a system to safeguard fixed assets against theft?					
Total Rankings for Fixed Assets						
Accounts Payable	Organization has a written policy governing accounts payable.					
Accounts Payable	Organization has a policy that differentiates between payroll and non-payroll disbursements.					
Accounts Payable	Organization has a procedure to keep track of unpaid and paid invoices separately.					
Accounts Payable	Organization maintains a separate accounts payable ledger.					
Accounts Payable	Organization regularly reviews outstanding accounts payable.					
Accounts Payable	Organization makes all payments, other than petty cash, by check.					
Total Rankings for Accounts Payable						
Payroll	Organization has a written policy on payroll.					

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Payroll	Organization keeps signed time and attendance records for each employee.					
Payroll	Organization maintains Form W-4s on file.					
Payroll	Organization has a procedure for approving/authorizing wage rates.					
Payroll	Organization requires written authorizations for new employees or changes in salary or wage rates.					
Payroll	Organization has a written payroll procedure that outlines when payroll is paid and how payroll taxes are submitted for payment.					
Payroll	Organization has a system in place to ensure that payroll tax deadlines are met in a timely manner.					
Payroll	Organization uses a separate payroll journal to record transactions.					
Total Rankings for Payroll						
Purchasing	Organization has assigned personnel with the authority to approve purchases.					
Purchasing	Organization has a system to review vendor invoices for accuracy and appropriateness.					
Purchasing	Organization has a system for contract administration to ensure contractor conformance with the terms, conditions and specifications of the contract.					
Total Rankings for Purchasing						
Loans – Debt	Organization has a written loan/debt policy.					
Loans – Debt	Organization has assigned authority to initiate borrowings or commit organization to debt.					
Loans – Debt	Organization ensures that any commitment to debt is mentioned in the minutes of board meetings and indicates the bank or other creditor.					
Total Rankings for Loans - Debt						

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FINANCIAL MANAGEMENT SELF-ASSESSMENT TOOL
SUMMARY OF RANKINGS

Instructions: Bring forward the total rankings for each section and calculate the totals to review by conclusion below.

Topics:	1	2	3	4	5	Total
General Management						
Insurance						
General Management – Human Resources						
Financial Systems						
Financial Responsibilities						
Budgeting						
Internal Controls						
Cost Allocation						
General Ledger						
Cash						
Accounts Receivable						
Fixed Assets						
Accounts Payable						
Payroll						
Purchasing						
Loans – Debt						
Total Rankings						

Conclusions:

Rankings 340 – 425: The organization's policies and procedures are current and complete. The policies and procedures are reviewed on a regular basis and updated as appropriate. The organization has a process for communicating these policies and procedures to staff to ensure compliance on all levels. The investment of time and effort in maintaining policies and procedures has paid off as it continues to build capacity to expand programs and seek additional funding sources.

Rankings 250 – 340: The organization has written policies and procedures, but those policies need to be reviewed to be current. The goal of this organization is to take the policies and procedures binder off the dusty bookcase and make it a set of documents that will provide guidance to all staff. The first steps of the process include delegation of review of the current policies by department. Once the policies have been reviewed and updated there also needs to be a process in place that will provide guidance on how they will be updated in the future. You have work ahead of you, but you already have a basis to start.

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Rankings 150 – 249: This organization is operating with processes in place, but has not yet documented those processes. This process will begin as the organization request employees make notes as they are conducting their work and then ask for their input in drafting policies and procedures. This is a great opportunity to review the process to see if efficiencies can be added to become more effective. The organization will also create a procedure the review of policies and procedures for the future. Review policies for completeness and draft additional policies as needed.

Rankings 90 – 149: This organization does not have written policies and procedures. This may be a newer organization that is slowly building its capacity. This is a great time to stop and document the work being completed as it is happening. This does not have to be a time consuming process, but it is critical to the success of your programs. Strong policies and procedures will allow you to become a strong organization that can meet all its expectations of funders. Do not recreate the wheel, use the resources available as a starting point and then tailor the policies and procedures to meet the organization's needs.

Overall Comments: _____

Completed By: _____ Date: _____

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Checklist of Recommended Policies and Procedures

Policy Description	Currently Have Policy	Currently Do Not Have Policy	Include in Work Plan
Governance Policies			
Organization Chart			
Board/Committee Duties and Responsibilities			
Board Meetings			
Board Orientation and Training			
Employee Manual			
Records Retention and Destruction			
Confidentiality			
Conflict of Interest			
Whistleblowers			
Performance Evaluations			
Internet Usage			
Annual Work Plan			
Job Descriptions			
Disaster Planning and Recovery Plan			
Discrimination			
Lobbying			
Financial Policies and Procedures			
Annual authorization of Signers			
Cash Receipts			
Accounts Receivable/Billing			
Travel Expenses			
Procurement			
Chart of Accounts/Narrative			
Budget			
Human Resources			
Contributions			
In-Kind Contributions			
Financial Statement Review/Audit			
Indirect Costs/Administrative Costs			
Inventory and Property Records			
Grant Specific Policies and Procedures			
Financial Status Report			
Federal Cash Transaction Report, if applicable			
Drawdown of Federal Funds Using HHS, if applicable			
Time and Activity Reporting			